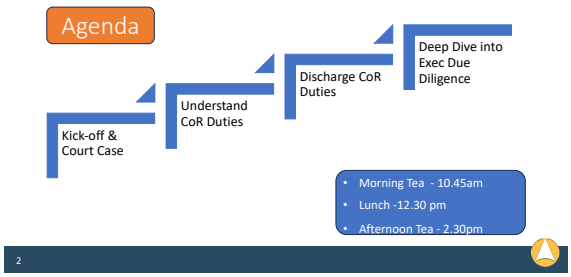
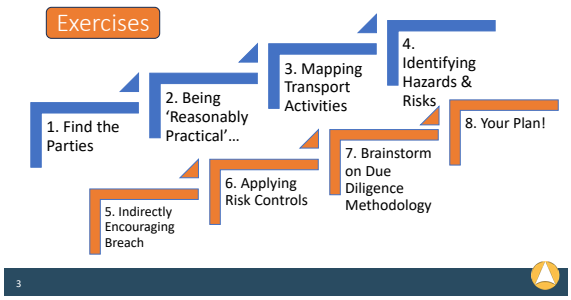
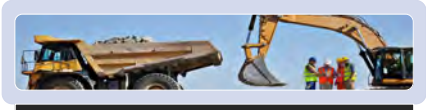
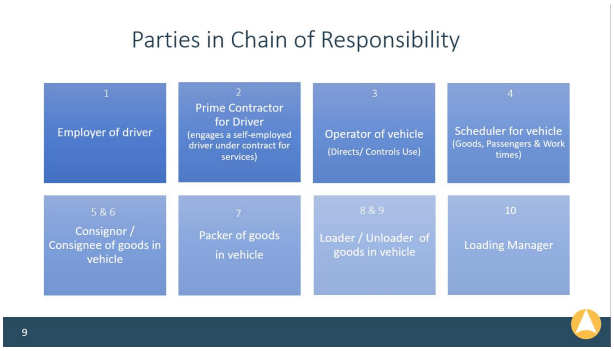
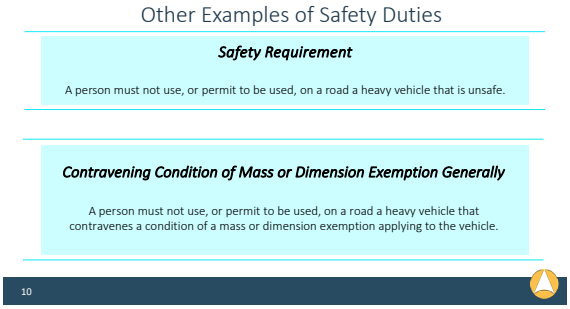
Workbook

Heavy Vehicle Chain of Responsibility (CoR) Training & Workshop for Executives and Managers

#	Slides	Your Notes
1		
2		
3		
4		

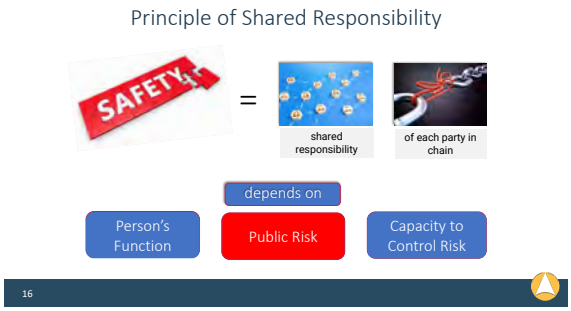
5	Understanding Duties Fundamental Building Blocks of Primary & Executive Duties	
6	Why 'Chain of Responsibility' CoR 6	
7	Duty of Executive To exercise due diligence to ensure organisation complies with its safety duties 7	
8	 Primary Duty (Heavy Vehicles >4.5t GVM) Each party in chain must ensure, as far as reasonably practical, safety of the party's transport activities relating to the heavy vehicle 8	

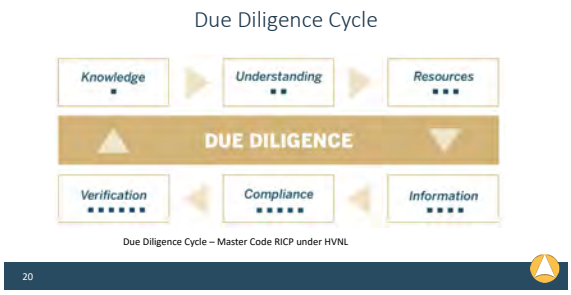
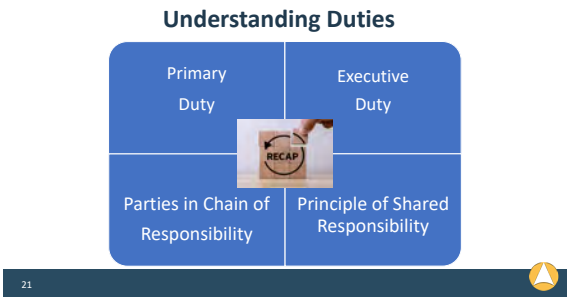
9		
10		
11	Exercise 1 - Find the Parties	
Business Activity – Waste Collection **Heavy Vehicle**- Local Council Garbage Truck **Please read the Scenario** Last Wednesday, Bill, a driver employed by Council, approached one of the empty garbage trucks and completed a pre-start inspection of the vehicle on an iPad and submitted it. He drove the truck from the depot at Council's Waste Recycling Centre along his usual Wednesday route, in accordance with the schedule which had been pre-determined by Murray- one of Council's schedulers. Bill loaded the vehicle		

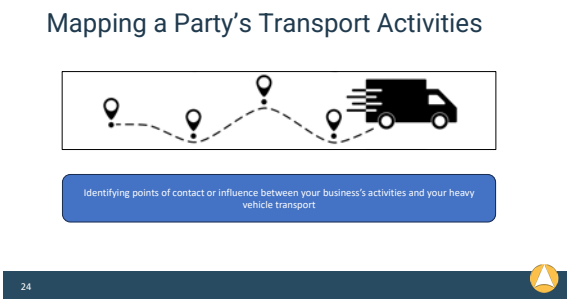
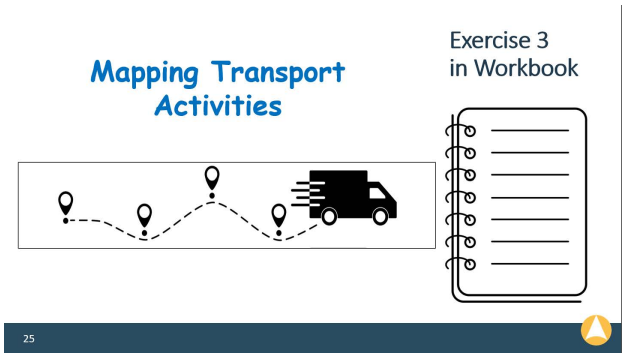
with garbage from the residents' kerbside garbage bins. When the onboard scales indicated that the truck was loaded to the permissible capacity, Bill drove the vehicle back to Council's Waste Recycling Centre. Once Bill arrived back at the Centre, he drove the garbage truck to the site of Council's contracted recycler- Recycle Co- which provides collection services of commingled recycling materials for Council. Recycle Co unloaded about 20 garbage trucks a couple of times each weekday. Bill drove to the designated unloading area and unloaded the vehicle, under the watchful eye of George. George is the Operations Manager at Recycle Co and he supervises all the loading and unloading. Bill waived to George on his way out of Recycle Co, on his way back out to collect some more waste. Instructions List all the parties in the chain of responsibility in the adjoining column.		
12	What does 'Safety' mean for Heavy Vehicle National Law? Public Risk = *safety risk* or risk of *damage to road infrastructure* Safety Risk = Risk to *public safety* or *harm to environment* Public Safety = Risk to safety of *persons or property*, including safety of ➢ *drivers, passengers* & other persons in vehicles & combos ➢ persons or property in (or likely to *be in vicinity of*) *road infrastructure & public places* ➢ vehicles, combos & their loads 12	

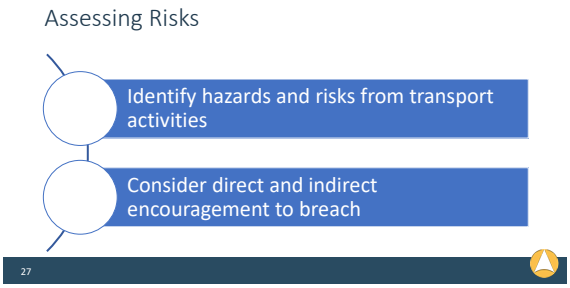
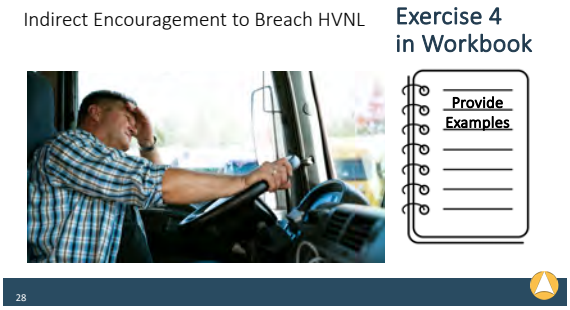
13		
14	Exercise 2- Apply 'Reasonably Practical' Test	
	a) Provide an example of where you applied the reasonably practical test, or where you saw it being applied by others (preferably in relation to some type of safety compliance and not necessarily heavy vehicle compliance).	

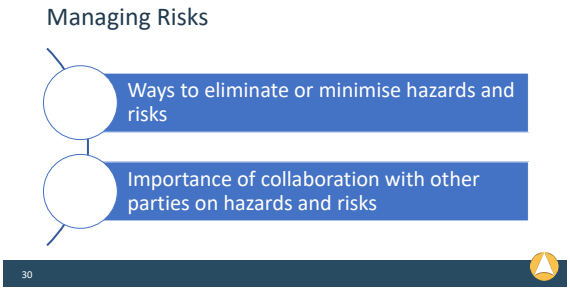
	b) What factors were considered when it was applied?	
	c) Was it difficult to apply the reasonably practical test? If so, why?	
15		

16	 Principle of Shared Responsibility SAFETY = shared responsibility of each party in chain depends on Person's Function Public Risk Capacity to Control Risk 16	
17	More than one person can share a duty but what's required to discharge it can differ 17	
18	Duty of Executive Exercise due diligence to ensure organisation complies with its safety duty 18	
19	Who is an Executive of a CoR Party? Management member - unincorporated body Executive officer - corporation Partner - partnership Management member – member of management committee or each member concerned with, or takes part in, the body's management (irrespective of name of member's position) Executive officer – director or any person concerned or takes part in management of corporation 19	

20		
21		
22	Discharging Duties	
23	Mapping Transport Activities	

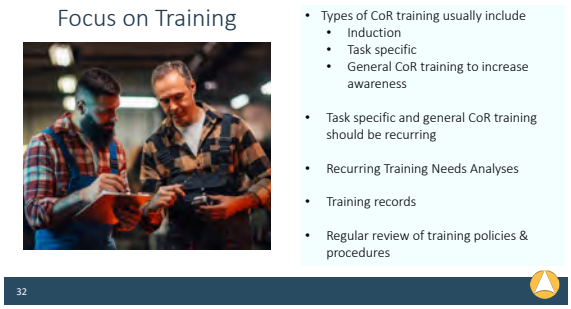
24		
25	Exercise 3 Map the transport activities for one of your business's activities	
	 Step 1. **Watch demo** - Watch the demonstration of how to map transport activities for waste collection using a heavy vehicle. Step 2. **Select heavy vehicle use case** - Consider the different ways you use heavy vehicles in your organisation and select one of these so you can map the relevant transport activities. You will be mapping the points of contact and influence between the transport activity and the heavy vehicle transport. Please do not select waste collection. Please ask the facilitator for help if you are unsure of an appropriate selection. Step 3. **Map** – Go to the Mapping Table on page 26 and use it to map the transport activities, where indicated.	

	Consider any Third Parties in the Chain of Responsibility and, if you have time, add them and any other Touch Points, as explained. Ignore the additional, rows for now.	
26		
27		
28	Exercise 4 - Indirect Encouragement to Breach	
	 In the adjoining column, list one or two examples of indirect encouragement to breach that you can think of or seen at an organisation.	

	We'll then discuss some participant examples in a group.	
29	Exercise 5 – Identifying CoR Hazards & Risks	
	 Add hazards and risks - Consider the transport activities you mapped in your Mapping Table on Page 26 . Add hazards and risks that correspond to the transport activities in the rows provided.	
30		

Implementing Risk Controls
Policies & Procedures
31

32

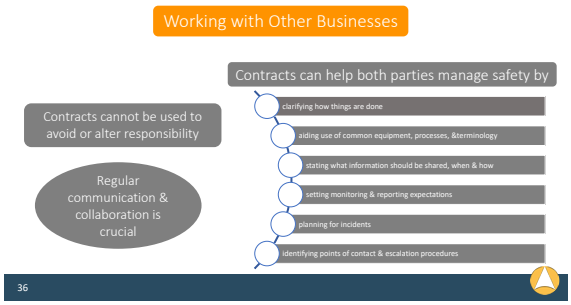

Focus on Training
Types of CoR training usually include
Induction
Task specific
General CoR training to increase awareness
Task specific and general CoR training should be recurring
Recurring Training Needs Analyses
Training records
Regular review of training policies & procedures
32

33

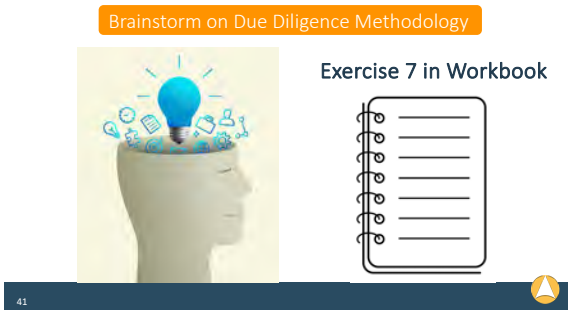
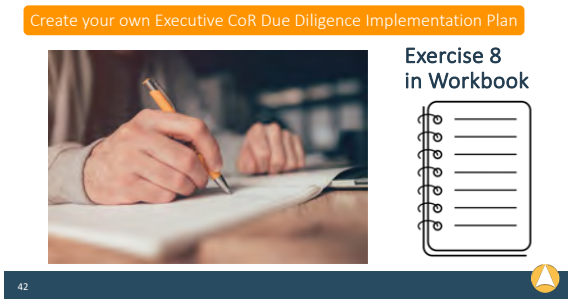
Monitoring, Reporting & Continuous Improvement
Q's to Ask & Answer
1 What information is relevant?
2 How to collect it?
3 Who should receive it?
4 How to interpret it?
5 What actions to take?
33

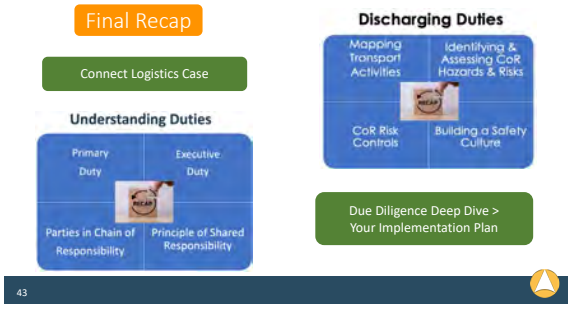
34

Safety Management Systems
SMS framework
Safety policy and documentation
Safety promotion and training
SMS
Safety risk management
Safety assurance
NHVR SMS Fact Sheet
34

35		
36		
37	Exercise 6 – CoR Risk Controls	
	 Add CoR Risk Controls - Add any known risk controls to your Mapping Table on page 26 and consider ways your organisation can identify other hazards and risks.	

38	**Discharging Duties** Mapping Transport Activities Identifying & Assessing CoR Hazards & Risks RECAP Building a Safety Culture Applying CoR Risk Controls 38	
39	Deep Dive Executive CoR Due Diligence & Creating an Implementation Plan	
40	Executive Duty to Exercise Due Diligence - HVNL ***Due diligence*** includes **taking reasonable steps**— (a) to **acquire**, and **keep up to date**, ***knowledge*** about the **safe conduct** of **transport activities**; and (b) to gain an ***understanding*** of— (i) the nature of the legal entity's ***transport activities***; and (ii) the ***hazards and risks***, including the ***public risk***, associated with those activities; and (c) to ensure the legal entity **has, and uses**, appropriate ***resources*** to **eliminate or minimise** those **hazards** and **risks**; and (d) to ensure the legal entity **has, and implements**, ***processes***— (i) to **eliminate or minimise** those **hazards** and **risks**; and (ii) for **receiving, considering, and responding** in a **timely** way to, ***information*** about those hazards and risks and any incidents; and (iii) for ***complying*** with the legal entity's **safety duties**; and (e) to ***verify*** the **resources and processes** mentioned in paragraphs (c) and (d) are being **provided, used** and **implemented.** 40	

41	Exercise 7 Brainstorm on Due Diligence Methodology	
	 Note in the next column: • how you exercise due diligence in safety compliance generally at your organisation; and • how you could improve the way you meet the due diligence requirements for CoR. Engage in a facilitator-led brainstorming session on the methods which can be used to improve your due diligence, the associated challenges and how to overcome them.	
42	Exercise 8 Create Your Own Executive CoR Due Diligence Implementation Plan	
		

	Step 1. Demo - Watch the demonstration on the white board of how to create an **Executive CoR Implementation Plan (*Plan*)**. **Step 2. Create your own Plan** – Use the transport activities you have mapped and what you have learned in today's session to create your own Plan, as discussed in the demonstration. You can use the table provided at **page 34** of this Workbook. Ask the facilitator about anything you're unsure about as you develop your Plan.	
43		
44	Exercise 9 - Create a Synopsis & Key Takeaways	
	 1. **Synopsis** – CoR executive due diligence is not done by one person acting alone. It is the responsibility of *every* executive, and *every* executive can be liable for breaches.	

	Accordingly, it's advisable to share any additional knowledge or awareness you've gained in the session today with your ELT and relevant others at your organisation. A synopsis of key points to share – similar to a pitch for improving CoR due diligence at your organisation - may be useful and this is the best time to create it! 2. **Key Takeaways** Key takeaways are important points you want to remember or action from today's session. They can be personal to you. Noting them now can help you to action CoR due diligence when you return to work.	
45	A Wealth of Free NHVR Resources	

46

Registered Industry Codes of Practice

TITLE	SPONSOR ORGANISATION	DATE REGISTERED	REVIEW DATE
Master Code (PDF, 870KB)	Safe Trucking and Supply Chains Ltd	23 November 2018	November 2023
Tasmanian Agricultural and Horticultural RICP (PDF, 1.6MB)	Tasmanian Farmers & Graziers Association	30 June 2022	June 2025
Managing Effluent in the Livestock Supply Chain RICP (PDF, 4MB) For an overview of the Effluent Code and answers to frequently asked questions, please see Brochure - The Effluent Code (PDF, 1.5MB) and Effluent Code FAQs (PDF, 205KB).	Australian Livestock and Rural Transporters Association	23 December 2022	December 2027
Waste and Recycling Industry Code of Practice (PDF, 5.2MB)	Waste and Recycling Industry Association of Queensland (WRIQ)	12 June 2024	12 June 2029
Mobile Crane Industry Code of Practice (PDF, 3.2MB)	Crane Industry Council of Australia (CICA)	12 August 2024	August 2029

46

47

NHVR Regulatory Advice

Title	Published
Loading and load restraint	Feb 2024
The Primary Duty	Dec 2023
Local Government as a CoR Party	Oct 2023
Managing the risks associated with heavy vehicles travelling down steep descents	April 2023
Heavy vehicle safety technology and telematics	Mar 2023
Managing the risk of a light or empty lead trailer in a laden B-double	Dec 2022
Maintenance of heavy vehicles used in agricultural or seasonal work	Dec 2022
Operating in the agricultural sector	Dec 2022
Reasonably practicable	Nov 2022
Managing the risks associated with noncompliant heavy vehicles arriving at premises	Nov 2022

47

48

NHVR Regulatory Advice

Title	Published
Fitness to drive: Mental health	Oct 2022
Fitness to drive: Physical health	Sep 2022
Fitness to drive: Fatigue	Aug 2022
Discrimination against or victimisation of employees	Aug 2022
Seatbelt use compliance in the heavy vehicle industry	Aug 2022
Driver distraction	Aug 2022
Obligations for Restricted Access Vehicles	Jul 2022
Prohibited requests and contracts under the HVNL	Jun 2022
Providing false or misleading information to the NHVR	Jun 2022
Managing the risks of undertrained workers	May 2022
Managing the risks of time slot bookings	May 2022

48

49

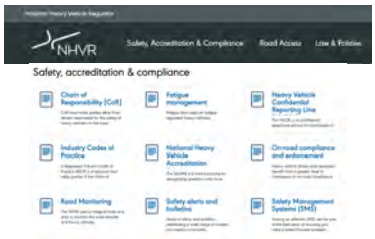
NHVR Regulatory Advice

Title	Published
Managing the risks of heavy vehicle transport activities in the construction industry (Principal Contractor)	Apr 2022
Managing the risks of heavy vehicle transport activities in the construction industry (Operator)	Apr 2022
Managing the risks of employees impaired by alcohol and other drugs Managing the risks of light to medium heavy vehicles	Mar 2022
Managing the risks of light to medium heavy vehicles	Jan 2022
Managing the risks of transporting freight in shipping containers	Nov 2022

49

50

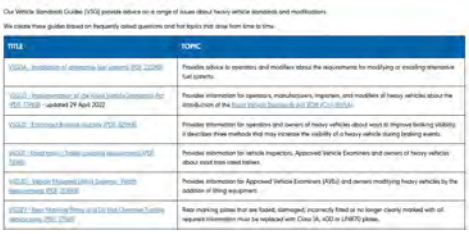
Other NHVR Resources



50

51

Vehicle Standards Guides



51

52

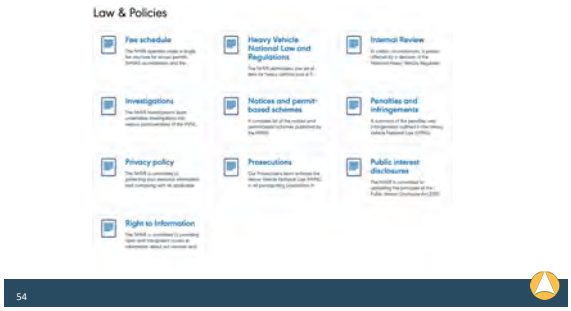
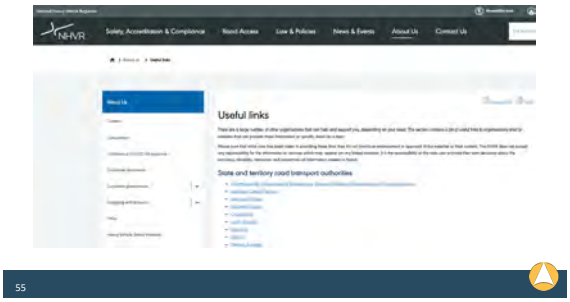
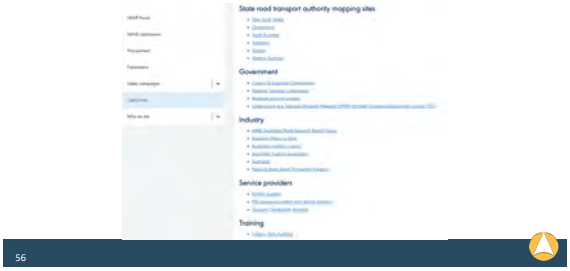
Road Access

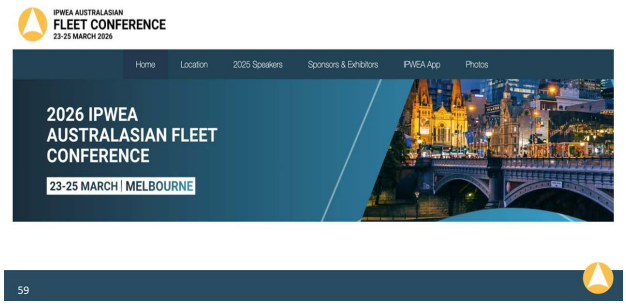
52

53

Local government road managers

53

54		
55		
56	NHVR Useful Links (cont.) 	
57	Other Resources & Useful Information 	

58	IPWEA Fleet Resources IPWEA PVMM IPWEA FLEET PROFESSIONAL SERVICES IMPROVE YOUR FLEET OPERATIONS 58	
59	 IPWEA AUSTRALASIAN FLEET CONFERENCE 23-25 MARCH 2026 Home Location 2025 Speakers Sponsors & Exhibitors IPWEA App Photos 2026 IPWEA AUSTRALASIAN FLEET CONFERENCE 23-25 MARCH | MELBOURNE 59	
60	Construction Logistics and Community Safety – Australia What is CLOCS-A 60	
61	CLOCS-A Heavy Vehicle Safety Technology 61	

62	Feedback Final Recap Discharging Duties Understanding Duties Exercises 62	
63	Anne-Maree Coyne Chain of Responsibility Specialist Principal Modus Management IPWEA Fleet Consultant BA LLB, CMC, MIMC Mob 0418 218 876 Email annemaree.coyne@ipwea.org LinkedIn www.linkedin.com/in/anne-maree-coyne IPWEA FLEET CMC CERTIFIED MANAGEMENT CONSULTANT IMC INSTITUTE OF MANAGEMENT CONSULTANTS APMG International Change Management APMG International AgilePM PRINCE2 63	

Mud Map for Transport Activities (Exercise 3)

Mud Map for Transport Activities (Exercise 3)

Mud Map for Transport Activities (Exercise 3)

Third Parties in Chain of Responsibility			
Transport Activities (Exercise 3)			
Touch Points for Transport Activities			
CoR Hazards or Risks (Exercise 5)			
CoR Risk Controls (Exercise 6)			
CoR Hazards or Risks (Exercise 5)			
CoR Risk Controls (Exercise 6)			

Third Parties in Chain of Responsibility			
Transport Activities (Exercise 3)			
Touch Points for Transport Activities			
CoR Hazards or Risks (Exercise 5)			
CoR Risk Controls (Exercise 6)			
CoR Hazards or Risks (Exercise 5)			
CoR Risk Controls (Exercise 6)			

Third Parties in Chain of Responsibility			
Transport Activities (Exercise 3)			
Touch Points for Transport Activities			
CoR Hazards or Risks (Exercise 5)			
CoR Risk Controls (Exercise 6)			
CoR Hazards or Risks (Exercise 5)			
CoR Risk Controls (Exercise 6)			

Third Parties in Chain of Responsibility			
Transport Activities (Exercise 3)			
Touch Points for Transport Activities			
CoR Hazards or Risks (Exercise 5)			
CoR Risk Controls (Exercise 6)			
CoR Hazards or Risks (Exercise 5)			
CoR Risk Controls (Exercise 6)			

Third Parties in Chain of Responsibility			
Transport Activities (Exercise 3)			
Touch Points for Transport Activities			
CoR Hazards or Risks (Exercise 5)			
CoR Risk Controls (Exercise 6)			
CoR Hazards or Risks (Exercise 5)			
CoR Risk Controls (Exercise 6)			

Third Parties in Chain of Responsibility			
Transport Activities (Exercise 3)			
Touch Points for Transport Activities			
CoR Hazards or Risks (Exercise 5)			
CoR Risk Controls (Exercise 6)			
CoR Hazards or Risks (Exercise 5)			
CoR Risk Controls (Exercise 6)			

Third Parties in Chain of Responsibility			
Transport Activities (Exercise 3)			
Touch Points for Transport Activities			
CoR Hazards or Risks (Exercise 5)			
CoR Risk Controls (Exercise 6)			
CoR Hazards or Risks (Exercise 5)			
CoR Risk Controls (Exercise 6)			

Third Parties in Chain of Responsibility			
Transport Activities (Exercise 3)			
Touch Points for Transport Activities			
CoR Hazards or Risks (Exercise 5)			
CoR Risk Controls (Exercise 6)			
CoR Hazards or Risks (Exercise 5)			
CoR Risk Controls (Exercise 6)			

Executive CoR Due Diligence Implementation Plan
Exercise 8

Executive CoR Due Diligence Implementation Plan

Executive CoR Due Diligence Implementation Plan

Executive CoR Due Diligence Implementation Plan

Executive CoR Due Diligence Implementation Plan

Executive CoR Due Diligence Implementation Plan

Additional Work or Notes

Additional Work or Notes

Additional Work or Notes

Additional Work or Notes